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GAU-2131

#4 SB  
03-13-01

- 1 -

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

RYUJI ISHIGURO ET AL.

Application No. 09/641,312

Filed: August 18, 2000

For: TRANSMITTER DEVICE,  
TRANSMITTING METHOD,  
RECEIVER DEVICE, RECEIVING  
METHOD, COMMUNICATION  
SYSTEM, AND PROGRAM  
STORAGE MEDIUM

) Group Art Unit: 2131  
)  
) Examiner: Not Assigned  
)  
) INFORMATION DISCLOSURE  
) STATEMENT

) 2001 Ferry Building  
) San Francisco, CA 94111  
) (415) 433-4130

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**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on December 4, 2000.

LIMBACH & LIMBACH L.L.P. Date: December 4, 2000

By: *Kelly A. Keran*  
Name: Kelly A. Keran

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants submit herewith patents, publications or other information [attached hereto and listed on the attached Form PTO-1449 (modified)] of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

This Information Disclosure Statement:

- (a) ☐ accompanies the new patent application submitted herewith. 37 CFR § 1.97(a).
- (b) ☐ is filed within three months after the filing date of the application or within three months after the date of entry of

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the national stage of a PCT application as set forth in 37 CFR § 1.491.

- (c) ☒ as far as is known to the undersigned, is filed before the mailing date of a first Office Action on the merits.
- (d) ☐ is filed after the first office action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned, prior to the mailing date of either a final rejection or a notice of allowance, whichever occurs first, and is accompanied by either the fee (\$240) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below.
- (e) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, whichever occurred first, and the Issue Fee has not been paid, and is accompanied by the fee (\$130) set forth in 37 CFR § 1.17(i)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

[If either of boxes (d) or (e) are checked above, the following "certification" under 37 CFR § 1.97(e) may need to be completed.] The undersigned certifies that:

- (f) ☐ Each item of information contained in the information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- (g) ☐ No item of information contained in this information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this information disclosure statement.

**I. Pending Patent Applications (Unpublished References)**

Two (2) pending U.S. patent applications are listed on the enclosed Attachment A for the Examiner's consideration and entry into the present application. In accordance with MPEP § 2001.06(b), the Examiner is respectfully requested to consider such U.S. patent applications and indicate, by initialing on the Attachment A that the listed applications have been considered.

**II. Published References**

A list of the patent(s) or publication(s) is set forth on the attached Form PTO-1449 (Modified).

A copy of the items on PTO-1449 (Modified) is supplied herewith:

(h) ☒ each (i) ☐ none (j) ☐ only those listed below:

A concise explanation of relevance of the items listed on form PTO-1449 (Modified) is:

(k) ☐ not given

(l) ☐ given for each listed item

(m) ☒ given for only non-English language listed item(s)  
[Required]

(n) ☐ is in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references [copy attached].

A concise explanation of relevance for **Items BJ, BK, and BL** listed on attached form PTO-1449 is in the form of an English abstract of the respective foreign language patent.

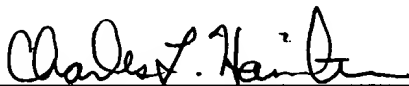
The Examiner is reminded that a "concise explanation of the relevance" of the submitted items "may be nothing more than identification of the particular figure or paragraph of the patent or publication which has some relation to the claimed invention," MPEP § 609.

While the information and references disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR § 1.98 and MPEP § 609 and the Examiner is respectfully requested to consider the listed references.

- [x] The Commissioner is hereby authorized to charge our Deposit Account No. 12-1420 for any fees required in connection with the filing of this Information Disclosure Statement. **A duplicate copy of this Notice is enclosed for this purpose.** In particular, in the event that an Office Action has crossed in the mail with this Information Disclosure Statement, the Commissioner is authorized to charge the above-named deposit account for any fees required pursuant to CFR §§ 1.17(p) or 1.17(i)(1).

Respectfully submitted,  
LIMBACH & LIMBACH L.L.P.

Dated: 4<sup>th</sup> Dec 00 By:   
Charles L. Hamilton  
Reg. No. 42,624  
Tel. No. 415/433-4150

Our File: SONY-T0988 (S00P0988US00)



FORM PTO-1449 (Modified) (Rev. 7-80)		U.S. Dept. of Commerce Patent and Trademark Office		Atty Docket No. SONY-T0988 (S00P0988US00)		Appln. No. 09/641,312	
INFORMATION DISCLOSURE CITATION  (Use several sheets if necessary)				Applicant(s) RYUJI ISHIGURO ET AL.		Group 2131	
				Filing Date August 18, 2000			
U.S. PATENT DOCUMENTS							
*Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
	AA	4,652,874	03/24/87	LOYER	340	825.05	12/24/84
	AB	4,723,120	02/02/88	PETTY, JR.	340	825.020	01/14/86
	AC	4,903,016	02/20/90	MURAI ET AL.	340	825.070	07/05/88
	AD	5,007,051	04/09/91	DOLKAS ET AL.	370	85.1	03/03/89
	AE	5,400,246	03/21/95	WILSON ET AL.	364	146	08/05/92
	AF	5,418,527	05/23/95	YASHIRO	340	825.24	01/13/94
	AG	5,420,724	05/30/95	KAWAMURA ET AL.	360	13	02/14/94
	AH	5,455,569	10/03/95	SHERMAN ET AL.	340	825.02	10/06/94
	AI	5,475,835	12/12/95	HICKEY	395	600	03/02/93
	AJ	5,481,750	01/02/96	PARISE ET AL.	395	800	09/01/94
	AK	5,515,211	05/07/96	KAWAMURA	360	14.2	11/22/94
	AL	5,537,605	07/16/96	TEECE	395	800	01/23/95
	AM	5,539,390	07/23/96	NAGANO ET AL.	340	825.07	01/27/95
	AN	5,657,221	08/12/97	WARMAN ET AL.	364	188	11/04/94
	AO	5,687,334	11/11/97	DAVIS ET AL.	395	339	05/08/95
	AP	5,712,834	01/27/98	NAGANO ET AL.	369	19	02/07/96
	AQ	5,729,717	03/17/98	TAMADA ET AL.	395	491	06/07/95
	AR	5,778,064	07/07/98	KORI ET AL.	386	5	03/28/96
	AS	5,787,259	07/28/98	HAROUN ET AL.	395	200.83	03/29/96
	AT	5,790,876	08/04/98	SHIMA ET AL.	397	750.03	02/09/96
	AU	5,793,366	08/11/98	MANO ET AL.	345	329	11/12/96
	AV	5,815,631	09/29/98	SUGIYAMA ET AL.	386	46	07/24/95
	AW	5,847,771	12/08/98	CLOUTIER ET AL.	348	564	08/14/96
	AR	5,850,573	12/15/98	WADA	395	882	11/21/94
	AY	5,875,108	02/23/99	HOFFBERG ET AL.	364	146	06/06/95
	AZ	5,887,193	03/23/99	TAKAHASHI ET AL.	395	828	10/02/97
	BA	5,963,450	10/05/99	DEW	364	474.11	12/20/96
	BB	5,973,748	10/26/99	HORIGUCHI ET AL.	346	554	11/13/97
	BC	5,987,126	11/16/99	OKUYAMA ET AL.	380	5	03/13/98

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FORM PTO-1449 (Modified) (Rev. 7-80)		U.S. Dept. of Commerce Patent and Trademark Office		Atty Docket No. SONY-T0988 (S00P0988US00)		Appln. No. 09/641,312	
INFORMATION DISCLOSURE CITATION  (Use several sheets if necessary)				Applicant RYUJI ISHIGURO ET AL.		Group 2131	
				Filing Date August 18, 2000			
U.S. PATENT DOCUMENTS							
*Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
FOREIGN PATENT DOCUMENTS							
*Examiner Initials		Document Number	Date	Country	Class	Subclass	Translation YES NO
	BD	EP 0 371 719 A2	06/06/90	EUROPEAN PATENT OFFICE	H04B	1/20	
	BE	EP 0 573 204 A2	12/08/93	EUROPEAN PATENT OFFICE	H04L	12/40	
	BF	EP 0 727 729 A1	08/21/96	EUROPEAN PATENT OFFICE	G06F	1/32	
	BG	EP 0 637 157 A2	02/01/95	EUROPEAN PATENT OFFICE	H04L	29/06	
	BH	EP 0 626 635 A2	11/30/94	EUROPEAN PATENT OFFICE	G06F	3/00	
	BI	WO 96/07971	03/14/96	WIPO	G06F	13/38	
	BJ	DE 31 51 492 A1	07/07/83	GERMANY	H04N	5/44	ABSTRACT
	BK	JP 4-97468	03/30/92	JAPAN	G06F	13/14	ABSTRACT
	BL	JP 7-134628	05/23/95	JAPAN	G06F	1/31	ABSTRACT
OTHER DOCUMENTS							
	BM	A. GEFRIDES ET AL., "STANDARD BUS CONNECTS UP TO 126 PERIPHERALS: PLUG AND PLAY WITH USB," COMPUTERS XXXI (1996) NO. 3, MAY 1996, PP. 36-38.					
	BN	G. HOFFMAN ET AL., "IEEE 1394: A UBIQUITOUS BUS," IEEE MAY 3, 1995, PP. 334-338					
	BO	D. BURSKY, "NETWORKING SCHEME EXPLOITS EXISTING RS-232 INTERFACE," ELECTRONIC DESIGN, VOL. 35, NO. 13, MAY 1987., PP. 65-68					
	BP	IEEE STANDARD FOR A HIGH PERFORMANCE SERIAL BUS, IEEE COMPUTER SOCIETY, IEEE STANDARD 1394-1995, AUGUST 1996					
Examiner				Date Considered			
* Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

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ATTACHMENT A

LIST OF U.S. PATENT APPLICATIONS

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In accordance with MPEP § 609 C(2), the Examiner is respectfully requested to consider the listed applications and indicate on Attachment A that the listed applications have been considered.

Atty. Docket No. SONY-T0988	Appln. No. 09/641,312	Applicant(s) RYUJI ISHIGURO ET AL.	Filing Date August 18, 2000	Group 2131
*Examiner Initials	U.S. PATENT APPLICATIONS		FILING DATE	
	BQ	APPLICATION NO. 09/622,517	August 17, 2000	
	BR	APPLICATION NO. 09/576,621	May 23, 2000	
Examiner			Date Considered	
* Examiner: Initial if application considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.				